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09/746,854	12/22/2000	James Morrow	83336.0476	7292
66880 STEPTOE & J	7590 03/30/2007 OHNSON, LLP		EXAMINER	
1330 CONNECTICUT AVENUE, NW			PATEL, NIKETA I	
WASHINGTO	N, DC 20036	,	ART UNIT PAPER NUMBER 2181	
SHORTENED STATUTOR	RY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE	
3 MC	NTHS	03/30/2007	PAPER	

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

		Application No.	Applicant(s)				
Office Action Summary		09/746,854	MORROW ET AL.				
		Examiner	Art Unit				
		Niketa I. Patel	2181				
Period fo	The MAILING DATE of this communication ap	pears on the cover sheet w	ith the correspondence address	; .			
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Status							
1)⊠	Responsive to communication(s) filed on 08 J	anuary 2007.		1			
· ·		s action is non-final.		1			
3)	3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is						
	closed in accordance with the practice under	Ex parte Quayle, 1935 C.D). 11, 453 O.G. 213.	;			
Dispositi	on of Claims			1			
·	Claim(s) 1-34 is/are pending in the application	•		1			
•	4a) Of the above claim(s) is/are withdra						
	Claim(s) is/are allowed.						
	6)⊠ Claim(s) <u>1-34</u> is/are rejected.						
7)	Claim(s) is/are objected to.			,			
8)[Claim(s) are subject to restriction and/o	or election requirement.					
Applicati	on Papers		•				
	The specification is objected to by the Examina	<u>ar</u>		,			
· · · · · · · · · · · · · · · · · · ·	The drawing(s) filed on <u>30 April 2001</u> is/are: a		cted to by the Examiner.				
	Applicant may not request that any objection to the	•					
	Replacement drawing sheet(s) including the correct	tion is required if the drawing	(s) is objected to. See 37 CFR 1.1	21(d).			
11)	The oath or declaration is objected to by the Ex	xaminer. Note the attached	d Office Action or form PTO-15	2.			
Priority u	ınder 35 U.S.C. § 119						
_	•	a priority under 25 U.S.C. S	C 110(a) (d) as (f)	;			
_	Acknowledgment is made of a claim for foreigr ☐ All b)☐ Some * c)☐ None of:	i priority under 35 0.5.C. §	; 1.19(a)-(u) or (1).	•			
۵٫۱	1. ☐ Certified copies of the priority document	ts have been received.					
	2. Certified copies of the priority documents have been received in Application No						
	3. Copies of the certified copies of the prior		· ·) ·			
	application from the International Burea	u (PCT Rule 17.2(a)).					
* S	ee the attached detailed Office action for a list	of the certified copies not	received.				
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1) Notice	e of References Cited (PTO-892)		Summary (PTO-413)	1			
	e of Draftsperson's Patent Drawing Review (PTO-948) nation Disclosure Statement(s) (PTO/SB/08)		s)/Mail Date nformal Patent Application	# 8			
	r No(s)/Mail Date	6) Other:		, .			

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DETAILED ACTION

Double Patenting

1. Note: The double patenting rejection, set forth in the previous Office Action, is still maintained but not repeated. The applicant, in response filed on 01/08/2007, agreed to submit a Terminal Disclaimer at the time of allowance.

Claim Rejections - 35 USC § 103

- 2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 3. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).
- 4. Claims 1-4, 6-20, 22-27 and 29-34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Swales et al. U.S. Patent Number: 6,233,626 B1 (hereinafter 'Swales') and further in view of *Montijo*.

5. Referring to claim 1, Swales teaches a generic device controller unit system [see figure 3] for facilitating interaction between a processor [see figure 3, element 12, 'Master Device'] and any number of peripheral devices [see figure 3, element 14, 'I/O Device' and column 1, lines 23-42, 'field devices'], the system comprising: a general purpose device controller [see figure 3, element 10 and column 4, lines 5-7, 'the COM-adapter' | employing asynchronous true real time peripheral device control [see column 1, lines 23-42 and column 4, sentence beginning at line 66, field devise are controlled via specific true real time control protocols, such as MODBUS plus, Interbus-S, Profibus DP, Echelon, Seriplex, CAN DeviceNet, CAN SDSI, wherein the device controller interfaces between the peripheral devices and a non-true real time computer a non-true real time operating system [see figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running on non-true real time operating system (i.e., Windows 95 & NT)], thereby allowing a non-true real time operating system to implement true real time control of the peripheral devices [see column 3, lines 15-23, 46-53, COM-adapter allows the field master (i.e., the host device) to control field devices in real time without special operating system]; and a data and protocol communications interface [see figure 3, elements 22, 'ATI interface'], wherein the communications interface connects the processor and the peripheral devices [see figure 3, elements 22 and ATI interface are part of element 10 which provides communication interface between the host device (element 12, master device) and the peripheral devices (element 14, I/O device)], thereby allowing the processor to utilize a single protocol and associated data to communicate with the peripheral devices which may be

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utilizing protocols and associated data which are different than that used by the processor [see column 6, lines 20-25, the host side uses TCP/IP protocol which is different then the protocol used by the field devices, ATI protocol, as described in column 9, lines 30-34.]

Swales does not set forth the detailed limitation of the non-true real time computer having an non-true real time-enabled circuit board however, *Montijo* teaches a non-true real time computer having a non-true real time operating system and non-true real time-enabled circuit board [see *Montijo* column 4, lines 31-49, 'a computer motherboard' and lines 62-67, 'operating system' and column 5, lines 1-6, 'Windows 95, 3.1, NT operating system' i.e., the non-true real time operating system] in order to allow the host computer to process information.

One of ordinary skill in the art at the time of applicant's invention would have clearly recognized that it is quite advantageous for the non-true real time computer of *Swales* to have a non-true real time operating system and non-true real time-enabled circuit board to provide the host computer with information processing capability. It is for this reason that one of ordinary skill in the art would have been motivated to implement the non-true real time computer of *Swales* with a non-true real time operating system and non-true real time-enabled circuit board in order to allow the host computer to process information.

6. **Referring to claim 12**, *Swales* teaches a generic device controller unit system [see figure 3] for facilitation interaction between a processor [see figure 3, element 12, 'Master Device'] and any number of peripheral devices [see figure 3, element 14, 'I/O Device' and column 1, lines 23-42, 'field devices'], the system comprising: a general purpose device controller [see figure 3, element 10 and column 4, lines 5-7, 'the COM-adapter'] employing asynchronous true real time peripheral device control [see column 1, lines 23-42 and column 4, sentence beginning at line 66,

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field devise are controlled via specific true real time control protocols, such as MODBUS plus, Interbus-S, Profibus DP, Echelon, Seriplex, CAN DeviceNet, CAN SDS], wherein the device controller interfaces between the peripheral device and a non-true real time computer having a non-true real time operating system [see figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running a non-true real time operating system (i.e., Windows 95 & NT)] thereby allowing a non-true real time operating system to implement true real time control of the peripheral devices without a processor requiring either a real time kernel or a layered true real time operating system [see column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS.]

Swales does not set forth the detailed limitation of the non-true real time computer having an non-true real time-enabled circuit board however, *Montijo* teaches a non-true real time computer having a non-true real time operating system and non-true real time-enabled circuit board and [see *Montijo* column 4, lines 31-49, 'a computer motherboard' and lines 62-67, 'operating system' and column 5, lines 1-6, 'Windows 95, 3.1, NT operating system' i.e., the non-true real time operating system] in order to allow the host computer to process information.

One of ordinary skill in the art at the time of applicant's invention would have clearly recognized that it is quite advantageous for the non-true real time computer of *Swales* to have a non-true real time operating system and non-true real time-enabled circuit board to provide the

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host computer with information processing capability. It is for this reason that one of ordinary skill in the art would have been motivated to implement the non-true real time computer of *Swales* with a non-true real time operating system and non-true real time-enabled circuit board in order to allow the host computer to process information.

Referring to claim 19, Swales teaches a generic device controller unit system [see figure 7. 3] for providing a data and protocol communication interface which facilitates interaction between a processor [see figure 3, element 12, 'Master Device'] and any number of peripheral devices [see figure 3, element 14, 'I/O Device' and column 1, lines 23-42, 'field devices'], the system comprising: an asynchronous general device data and protocol communications interface [see figure 3, element 10 and column 4, lines 5-7, 'the COM-adapter'], wherein the communications interface connects a processor and various peripheral devise [see figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master], thereby allowing the processor to unitize a single protocol and associated data to communicate with the various peripheral devices which may utilize different protocols and associated data then that used by the processor [see column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COMadapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS] and wherein the communications interface employs asynchronous true real time peripheral device control [see column 1, lines 23-42 and column 4, sentence beginning at line 66, field devise are controlled via specific true real time control protocols, such as MODBUS plus, Interbus-S, Profibus DP, Echelon, Seriplex, CAN DeviceNet, CAN SDS], and wherein the communications interface connects the peripheral devices and a non-true real

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time computer having a non-true real time operating system [see figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running a non-true real time operating system (i.e., Windows 95 & NT).]

Swales does not set forth the detailed limitation of the non-true real time computer having an non-true real time-enabled circuit board however, *Montijo* teaches a non-true real time computer having a non-true real time operating system and non-true real time-enabled circuit board and [see *Montijo* column 4, lines 31-49, 'a computer motherboard' and lines 62-67, 'operating system' and column 5, lines 1-6, 'Windows 95, 3.1, NT operating system' i.e., the non-true real time operating system] in order to allow the host computer to process information.

One of ordinary skill in the art at the time of applicant's invention would have clearly recognized that it is quite advantageous for the non-true real time computer of *Swales* to have a non-true real time operating system and non-true real time-enabled circuit board to provide the host computer with information processing capability. It is for this reason that one of ordinary skill in the art would have been motivated to implement the non-true real time computer of *Swales* with a non-true real time operating system and non-true real time-enabled circuit board in order to allow the host computer to process information.

8. Referring to claim 24, Swales teaches a method for providing a data and protocol communications interface to facilitate interaction between a processor [see figure 3, element 12, 'Master Device'] and any number of peripheral devices [see figure 3, element 14, 'I/O Device' and column 1, lines 23-42, 'field devices'], the method comprising: interfacing between various

non-specific peripheral devices [see figure 3, element 14, 'I/O Device' and column 1, lines 23-42, 'field devices'] a non-true real time computer having a non-true real time operating system [see figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running a non-true real time operating system (i.e., Windows 95 & NT)]; employing asynchronous true real time peripheral device control through a generic device controller unit [see figure 3, element 10 and column 4, lines 5-7, 'the COM-adapter'], wherein the device controller allows the processor to implement true real time control of the peripheral devices without the non-true real time operating system requiring either a real time kernel or a layered true real time operating system [see column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS]; and providing a protocol and associated data communications interface [see figure 3, elements 22, 'ATI interface'] between the processor and the peripheral devices [see figure 3, elements 22 and ATI interface are part of element 10 which provides communication interface between the host device (element 12, master device) and the peripheral devices (element 14, I/O device)], thereby allowing the processor to utilize a single protocol and associated data to communicate with the peripheral devices which may utilize different protocols and associated data then that used by the processor [see column 6, lines 20-25, the host side uses TCP/IP protocol which is different then the protocol used by the field devices, ATI protocol, as described in column 9, lines 30-34.]

Swales does not set forth the detailed limitation of the non-true real time computer having an non-true real time-enabled circuit board however, *Montijo* teaches a non-true real time computer having a non-true real time operating system and non-true real time-enabled circuit board and [see *Montijo* column 4, lines 31-49, 'a computer motherboard' and lines 62-67, 'operating system' and column 5, lines 1-6, 'Windows 95, 3.1, NT operating system' i.e., the non-true real time operating system] in order to allow the host computer to process information.

One of ordinary skill in the art at the time of applicant's invention would have clearly recognized that it is quite advantageous for the non-true real time computer of *Swales* to have a non-true real time operating system and non-true real time-enabled circuit board to provide the host computer with information processing capability. It is for this reason that one of ordinary skill in the art would have been motivated to implement the non-true real time computer of *Swales* with a non-true real time operating system and non-true real time-enabled circuit board in order to allow the host computer to process information.

9. **Referring to claims 2, 13, 25**, combination of *Swales & Montijo* teaches wherein the generic device controller unit system produces true real time peripheral device control while interfaced with a non-true real time operating system running standard non-true real time software [see *Swales* figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running a non-true real time operating system (i.e., Windows 95 & NT).]

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10. **Referring to claims 3, 14, 20, 26**, combination of *Swales & Montijo* teaches the system and the method wherein the generic device controller unit system functions as a distributed processing environment [see column 6, lines 14-23 and column 3, lines 15-23, 46-53, networked devices COM-adapter, host computer and field devices provide distributed processing.]

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- 11. **Referring to claims 4, 27**, combination of *Swales & Montijo* teaches the system and the method wherein the generic device controller unit system further includes customized system drivers [see *Swales* column 6, lines 42-63, kernel firmware of the COM-adapter.]
- 12. **Referring to claims 6, 18, 29**, combination of *Swales & Montijo* teaches the system and the method wherein the generic device controller unit system interfaces with the non-true real time operating system that functions in a Win32 environment [see *Swales* column 5, lines 1-6, 'Windows 95, 3.1, NT operating system' i.e., Win32 environment non-true real time operating system.]
- 13. **Referring to claims 7, 15, 22, 30**, combination of *Swales & Montijo* teaches the system and the method wherein the generic device controller unit system is an input/output device interface for a processor to peripheral devices [see *Swales* figure 3, element 10 and column 3, lines 46-53 and column 4, lines 5-7, the COM-adapter provides communication interface to a master processor and an I/O device.]
- 14. **Referring to claims 8, 16, 31**, combination of *Swales & Montijo* teaches the system and the method wherein the generic device controller unit system provides real time device control to resource management capabilities of a standard non-true real time operating system [see *Swales* column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol

such as MODBUS, the host does runs Windows operating system, Windows operating system do not run true real time kernel; also see column 3, 15-23, which specifically discloses that real time component are not required, instead standard network components are shared.]

- Referring to claims 9, 17, 23, 32, combination of Swales & Montijo teaches the system and the method wherein the generic device controller unit system produces true real time peripheral device control without the higher level functionality of the processor [see Swales column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS, the host does runs Windows operating system, Windows operating system do not run true real time kernel; also see column 3, 15-23, which specifically discloses that real time component are not required, instead standard network components are shared.
- 16. Referring to claims 10, 33, combination of Swales & Montijo teaches the system and the method wherein the generic device controller unit system produces true real time peripheral device control without the processor using a true real time kernel [see Swales column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS, the host does runs Windows operating system, Windows operating system do not run true real time kernel; also see column 3, 15-23, which specifically discloses that real time component are not required, instead standard network components are shared.]
- 17. Referring to claims 11, 34, combination of Swales & Montijo teaches the system and the method wherein the generic device controller unit system produces true real time peripheral device control without the processor utilizing a layered true real time operating system [see

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Swales column 3, lines 11-23, 46-53, column 6, lines 14-28 and column 1, lines 23-42, the COM-adapter allows a host running Windows OS to control field devices which are using real time protocol such as MODBUS; also see column 3, 15-23, which specifically discloses that real time component are not required, instead standard network components are shared.]

- 18. Claims 5, 21, 28 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Swales* & *Montijo* as modified above in claims 1, 19, 24 and further in view of Evoy et al. U.S. Patent Number: 5,958,020 (hereinafter "*Evoy*".)
- 19. **Referring to claims 5, 21, 28,** combination of *Swales & Montijo* teaches a generic device controller unit system and a method for facilitating interaction between a processor and any number of peripheral devices [*Swales* figure 3, element 10 located between elements 12 & 14 and column 1, lines 64-67 and column 2, lines 1-5, a personal computer/ host computer/ host device/ field master; column 6, lines 14-28 states that the COM-adapter is compatible with host program running over Windows 95 & NT, therefore the host is running a non-true real time operating system (i.e., Windows 95 & NT) and *Montijo* teaches serial port, figure 6, element 610.] The combination of *Swales & Montijo* does not set forth the limitation wherein Universal Serial Bus is the default communication protocol between the generic device controller unit system and the processor, however *Evoy* teaches a use of Universal Serial Bus protocol between the generic device controller unit system and the processor [see *Evoy* column 2, lines 46-60 and column 1, lines 23-43] because USB connects peripheral devices to the resources of the computer system without consuming the input output resources of the computer system and also

provides for automatic USB peripheral device configuration and eliminates computer system resource conflicts.

One of ordinary skill in the art at the time of applicant's invention would have clearly recognized that it is quite advantageous for the system of *Swales & Montijo* to be able to automatically configure peripheral devices in order to eliminate computer system resource conflicts by using USB protocol. It is for this reason that one of ordinary skill in the art would have been motivated to implement USB protocol in the system of *Swales & Montijo* to eliminate computer system resource conflicts and saving input output resources.

Response to Arguments

20. Applicant's arguments filed 01/08/2007 have been fully considered but they are not persuasive. The applicant traverse the rejection of claims 1-34 under 35 U.S.C. § 103(a) as being unpatentable over Swales et al. (US 6,233,626) and further in view of Montijo (US 6,052,107). The applicant argues that the Swales et al. reference does not teach or suggest the claimed element of "a general purpose device controller employing asynchronous true real time peripheral device control." Notably, the control system utilized by the Swales et al. reference is synchronous (i.e., occurring at regular fixed time intervals), in contrast to the asynchronous (i.e., can occur at any time and at irregular time intervals) control system of the claimed invention. In the Swales et al. reference, "the request message and the response message is limited to a length that is less than a TCP transaction length and/or a maximum transmission unit limit, or both"

Otherwise stated, in the Swales et al. reference, synchronous fixed time intervals are utilized in

an attempt to mimic some aspects of real time control, but do NOT provide <u>asynchronous true</u> real time peripheral device control, (see pages 8-9 of the "REMARKS" section.)

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The examiner respectfully disagrees with this argument.

The above state passage of Swales does not in any way imply that a synchronous fixed time intervals are utilized for real time contorl. The passage "the request message and the response message is limited to a length that is less than a TCP transaction length and/or a maximum transmission unit limit, or both" does not refer to any sort of "time intervals," it simply describes a length of the request message and the response message. Applicant's statement that Swales uses "synchronous fixed time intervals" language (or equivalent slightly paraphrased language) in an attempt to mimic some aspects of real time control, is not only completely false but lacks factual support. The combination of Swales & Montijo teaches every element of the claimed invention including the limitation of asynchronous true real time peripheral device control [see column 1, lines 23-42 and column 4, sentence beginning at line 66, field devise are controlled via specific true real time control protocols, such as MODBUS plus, Interbus-S, Profibus DP, Echelon, Seriplex, CAN DeviceNet, CAN SDS – as stated in the rejection set forth above.]

Conclusion

21. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action.

In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Niketa I. Patel whose telephone number is (571) 272 4156. The examiner can normally be reached on M-F 8:00 A.M. to 5:00 P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Donald Sparks can be reached on (571) 272 4201. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

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Examiner:

Niketa Patel 03/27/2007

DONALD SPAHAS
SUPERVISORY PATENT EXAMINER